

DEPARTMENT OF STATE
FISCAL YEAR 2006
PRIVACY IMPACT ASSESSMENT

*Global Financial Services Charleston
Document Imaging System (DIS)*

Conducted by:
Bureau of Administration
Information Sharing and Services
Office of Information Programs and Services
Privacy Office
E-mail: pia@state.gov

A. GENERAL INFORMATION ABOUT THE SYSTEM/APPLICATION:

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- 1) Does this system collect, maintain or disseminate personally identifiable information about individual members of the public**?

YES X NO

** “Personally identifiable information from/about individual members of the public” means personally identifiable information from/about “any person not acting in his/her official capacity as a federal government employee/contractor”.

If answer is yes, please complete the survey in its entirety.

- 2) If answer is no, If answer is no, please reply via e-mail to the following e-mail address: pia@state.gov. If answer is yes, please complete the survey in its entirety.

- 3) Does a Privacy Act system of records already exist?

YES X NO

If yes, please provide the following:

System Name Personnel Payroll Records Number STATE-30

If no, a Privacy system of records description will need to be created for this data.

- 4) What is the purpose of the system/application?

This system transfers paper information to electronic form through scanning new submissions as well as existing paper files for retired Department of State government employees. The image file enables retirement accounts manager and technicians to accomplish their tasks faster and without the requirement to move paper files back and forth from storage.

- 5) What legal authority authorizes the purchase or development of this system/application?

22 U.S.C. 4041; 22 U.S.C. 4071; 22 U.S.C 2651a (Organization of the Department of State); 22 U.S.C. 3921 (Management of Service); and 22 U.S.C. 4042 (Maintenance of the Foreign Service Retirement and Disability Fund)

C. DATA IN THE SYSTEM:

- 1) What categories of individuals are covered in the system?

Department of State retirees, spouses, and dependents

2) What are the sources of the information in the system?

a. Who/what is the source of the information?

State Department retirees or their beneficiaries are the source of all information received at the Retirement Accounts Division. The State Department retiree, when filling out the various required retirement forms, can include information on spouses and dependents such as change of address, beneficiary, insurance, SSN, tax ID numbers, DOB, age, marital status, and financial banking information.

b. What type of information is collected from the source of the information?

The following form types can be included in a State Department retiree file, and can include information relevant to the retirement process on spouses and dependents such as change of address, beneficiary, insurance SSN, tax ID numbers, DOB, age, marital status, and financial banking information.

Retirement Pay Documents:

Form No.	Form Name	Purpose
Memorandum/Cover Sheet	Foreign Service Annuity Roll	Checklist of attachments for initiating retirement pay
Memorandum/Cover Sheet	Foreign Service Annuity Roll	Checklist of attachments for initiating retirement pay
Form JF-37	Foreign Service Retirement System Election of Annuity Benefits	Election of annuity benefits
Form DS-600	Foreign Service Annuity Computation	Service History & annuity

		calculations
Form SF-2817	Life Insurance Election	Elect Life insurance coverage
Form SF-2818	Continuation of Life Insurance Coverage	Continue coverage as an annuitant or Compensationeer
Form SF-2810	Notice of Change in Health Benefits Enrollment	Health benefits enrollment
Form/Notice	Salary/Annuity Limitation Form	For FS employee annuitants who are reemployed
Form SF-52	Request for Personnel Action	Request for Retirement Personnel Action
State Tax Doc.	State Income Tax Withholding Request	Request for state income tax withholding
W-4P	Withholding Certificate for pension or Annuity Payments	
Form	Direct Deposit	Direct Deposit
Form	Designation of Correspondence and Payment Address(es)	Change of bank address, rollover request, refund election
Report	Dept. of State Foreign Affairs Retirement and Disability System Annuity Adjustment Notice	Adjustments to the monthly annuity checks
Screen print	Gross, Tax, and Insurance	
Screen print	Check Mailing Address – American	
Screen print	Annuity Pay record – 1	
Screen print	Annuity Pay record-2	

Letter	Contributions Letter	Calculation of contribution s to Retirement Fund and allowances in the individual retirement record
Form SF-3100A	Individual Retirement Record	Verification of the service and salary history
Form SF-3100A	Individual Retirement Record	Verification of the service and salary history
Form DS-765 10-63	Foreign Service Retirement and Disability System Participant Record	Payroll deductions, service credit, contributions, etc.
Form DST-925	Office of Financial Service Retirement and tax form	Remittance of tax due
Form DS-408	Record of Remittance	Receipt of Remittance
Form DS1416	Conversion to Foreign Service Retirement and Disability System	Service and Salary record
Form DS-1032	Notification of Personnel Action	Separation and appt. By the President to FSO
Form DS-1032	Notification of Personnel Action	Correction of separation-appt.
Form DS-1032	Notification of Personnel Action	Termination of reimbursable assignment
Letter – DSL-894(o)	Letter – Notice re: retirement eligibility	Request for transfer of contributions from Civil Service Fund to FS Retirement

		Fund
Memorandum	Cost of Prior Service	Calculate cost of contributions to purchase credit for service
Worksheet (1960/61)	Worksheet for Conversion of other Gov't Service to FS Retirement	Calculate period to be purchased
Report/screen print Form SF-2806	Individual Retirement record	Displays Fiscal and Service History
Form	35 year excess contribution interest rollover	Pay options
Form OF-138	Application for Refund of Compulsory Retirement Contributions Foreign Service Retirement System	Refund of payment to Retirement fund

3) Accuracy, Timeliness, and Reliability

a. How will data collected from sources other than DOS records be verified for accuracy?

No data is collected from sources other than DOS records, employees, spouses, and dependents.

b. How will data be checked for completeness?

Data is currently reviewed for completeness before the forms are processed. For instance, if the form is a change of beneficiary, the retirement accounts technician verifies that all required information (including signature) has been provided.

c. Is the data current? What steps or procedures are taken to ensure the data is current and not out-of-date? Name the document (e.g., data models).

Data consists of historical records that have been verified and are necessary for the complete retirement information folder of each individual. New data is being imaged as it is collected.

D. INTENDED USE OF THE DATA:

1) Will the use of the data be both relevant and necessary to the purpose for which the system is being designed?

Yes, the data is already being collected for use with other Department of State systems. The Document Imaging System (DIS) replaces the paper copy with an electronic one for processing. Paper copies are still retained for the time period prescribed by the National Archives and Records Administration (NARA).

2) Will new data or previously unavailable personal data be created through derived data or aggregation of data collected, and how will it be maintained and filed?

No.

3) Will the system make determinations about DOS employees or members of the public that would not be possible without the new data?

No.

4) Will the new data be placed in the individual's record?

No. The new data will be used by the retirement accounts technicians to update individual records in the same manner that is now done. The technicians will work with an electronic record vs. a paper record.

5) How will the new data be verified for relevance and accuracy?

The data is provided by the retiree, spouse, or dependent. Verification will follow the same procedure that is used currently for paper records.

6) How will the data be retrieved? Does a personal identifier retrieve the data? If yes, explain and list the identifiers that will be used to retrieve information on the individual.

Yes. Individual names and social security numbers are used to retrieve data.

7) What kinds of reports can be produced on individuals? What will be the use of these reports? Who will have access to them?

As stated in STATE-30, reports can be produced on individuals consisting of names, social security numbers, home addresses, dates of birth, dates of hire,

quarterly earnings, employer identifying information, and state of hire of employees. These reports may be disclosed to: Office of Child Support Enforcement, Administration for Children and Families, Department of Health and Human Services for the purpose of locating individuals to establish paternity, establishing and modifying orders of child support, identifying sources of income, and for other child support enforcement actions as required by the Personal Responsibility and Work Opportunity Reconciliation Act (Welfare Reform Law, 42 U.S.C. 653); (2) to the Office of Child Support Enforcement for release to the Social Security Administration for verifying social security numbers in connection with the operation of the Federal Parent Locator System by the Office of Child Support Enforcement; and (3) to the Office of Child Support Enforcement for release to the Department of Treasury for purposes of administering the Earned Income Tax Credit Program (Section 32, Internal Revenue Code of 1986) and verifying a claim with respect to employment in a tax return. The principal users of this information outside the Department of state are: Federal, state, and city governments which are issued tax reports; the Internal Revenue Service and the Social Security Administration which are sent tax and withholding data; and the Office of Personnel Management which receives the total record of the Civil Service Retirement System and the Federal Employees Retirement System benefit deductions including life and health insurance.

E. MAINTENANCE OF DATA & ADMINISTRATIVE CONTROLS:

1) If the system is operated in more than one site, how will consistent use of the system and data be maintained in all sites?

Not applicable. The system is operated in one location only.

2) What are the retention periods of data in this system?

The retention periods are as prescribed in DOS regulations and NARA guidelines.

3) What are the procedures for disposition of the data at the end of the retention period? How long will the reports produced be kept? Where are the procedures documented?

Retention of these records varies from 3 to 99 years, depending upon the specific kind of record involved. They are retired or destroyed in accordance with published records schedules of the Department of State and as approved by the National Archives and Records Administration. More specific information may be obtained by writing to the Department of State, Director, Office of Information

Programs and Services, 515 22nd Street, NW, 2201 Washington, DC 20037. **System manager(s) and address:** Chief, Applications Programming Division, Systems and Integration Office, Information Management, Bureau of Administration, Room 4428, Department of State, Washington, DC 20520

4) Is the system using technologies in ways that the DOS has not previously employed (e.g., monitoring software, Smart Cards, Caller-ID)?

No.

5) How does the use of this technology affect public/employee privacy and does it restrict access to the system?

Converting from paper files to electronic has no affect on public/employee privacy. The employees of the Department of State have undergone a thorough background security investigation. Access to the Department and its annexes is controlled by security guards and admission is limited to those individuals possessing a valid identification card or individuals under proper escort. CFSC has security access controls (code entrances) and/or security alarm systems. All records containing personal information are maintained in secured file cabinets or in restricted areas, access to which is limited to authorized personnel. Access to computerized files is password- protected and under the direct supervision of the system manager. The system manager has the capability of printing audit trails of access from the computer media, thereby permitting regular and ad hoc monitoring of computer usage. The system contains personally identifiable information about spouses and dependents.

6) If this system provides the capability to identify, locate, and monitor individuals, what kinds of information are collected as a function of the monitoring of individuals and what controls are used to prevent unauthorized monitoring?

The system does not provide the capability to identify, locate, or monitor individuals. It replaces a paper system.

7) If the system is being modified, will the Privacy Act system of records notice require amendment or revision? Explain.

No. If modified, it is thought that STATE-30 will still be applicable.

**8) Are there forms associated with the system? YES X NO
If yes, do the forms include Privacy Act statements that include required information (e.g. – legal authorities allowing for the collection**

of the information being requested, whether provision of the information is mandatory or voluntary, the routine uses of the data, with whom the data will be shared, the effects on the individual if the data is not provided)?

As described in Section C.2.b of this document, the Retirement Accounts Division uses standard Department of State forms to conduct its business. Therefore, the Privacy Act Statements that are included on these forms are prescribed in accordance with the Department's authority.

ACCESS TO DATA:

1) Who will have access to the data in the system (e.g., contractors, users, managers, system administrators, developers, other)?

Department of State Retirement accounts technicians, certifiers, and managers will have day-to-day access to the data in the system. CFSC System administrators, ISSOs, and Database Administration will have access to provide application and database support.

2) What are the criteria for gaining access to the system? Are criteria, procedures, controls, and responsibilities regarding access documented?

Access procedures will identify personnel authorized to utilize the system. Access control procedures and user responsibilities are documented in the Document Imaging System's System Security Plan.

3) Will users have access to all data on the system or will the user's access be restricted? Explain.

Retirement accounts technicians will have access to data assigned to them by their supervisor. Supervisors will have access to all data in the system.

4) What controls are in place to prevent the misuse (e.g., unauthorized browsing) of data by those already having access? (Please list processes and training materials.)

Users are accustomed to working with the data in the system. They have received background checks and training in handling personally identifiable information (PII).

5) Are contractors involved with the design and development of the system and will they be involved with the maintenance of the system? If yes, were Privacy Act contract clauses inserted in their contracts and other

regulatory measures addressed? Have rules of conduct been established and training regarding the handling of such information under the Privacy Act of 1974, as amended?

Contractors are involved in the design and development of the system. The solicitation documents specified security requirements, including the requirement for background investigations.

- 6) Will other systems share data or have access to the data in the system? If yes, who will be responsible for protecting the privacy rights of the public and employees affected by the interface?**

There will be no direct access to this data.

- 7) Will other agencies share data or have access to the data in this system (Federal, State, Local, Other)? If so, how will the data be used by the other agency?**

There will be no direct access to this data nor will data be shared by other agencies.

- 8) Who is responsible for assuring proper use of the SHARED data?**

Not applicable.

FY 2006 Privacy Impact Assessment

Certifying Officials

Please complete this form electronically and submit it with the PIA.

System Manager

Certification X Yes ___ No

Name William Swain

Title Unit Chief of Internal System and Messaging

IT Security Manager

Certification X Yes ___ No

Name Charles M. Smith

Title ISSO

Department of State Privacy Coordinator

Name Margaret P. Grafeld

Title Director of Office of Programs and Services

The above listed certifying officials are verifying the accuracy of this document and its compliance with the Privacy Act of 1974, as amended.

